

**GREENBLUM & BERNSTEIN, P.L.C.**

PATENT AND TRADEMARK CAUSES

1941 ROLAND CLARKE PLACE

RESTON, VIRGINIA 20191

Applicant or Patentee: Susumu SEINO et al. Serial or Patent No: \_\_\_\_\_

Attorney's Docket No.: \_\_\_\_\_

Filed or Issued: \_\_\_\_\_  
For: Protein Rim2

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY  
STATUS (37 CFR 1.9 (f) and 1.27(c)) – SMALL BUSINESS CONCERN**

I hereby declare that I am

☐ the owner of the small business concern identified below:

☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN JCR Pharmaceuticals Co., Ltd.

ADDRESS OF SMALL BUSINESS CONCERN 3-19 Kasuga-cho, Ashiya-shi, Hyogo 659-0021 Japan

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12 and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. for purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled Protein Rim2 by inventor(s) Susumu SEINO et al., described in

☐ the specification filed herewith

☐ application serial no. \_\_\_\_\_, filed \_\_\_\_\_

☐ patent no. \_\_\_\_\_, issued \_\_\_\_\_

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(3) \*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

FULL NAME Susumu SEINO

ADDRESS 22-1-4 Aobanomorinomachi, 638-1 Chibateramachi, Chuo-ku, Chiba-shi, Chiba 260-0844 Japan

☒ INDIVIDUAL

☐ SMALL BUSINESS CONCERN

☐ NONPROFIT ORGANIZATION

FULL NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

☐ INDIVIDUAL

☐ SMALL BUSINESS CONCERN

☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28 (b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Shin Ashida

TITLE OF PERSON IF OTHER THAN OWNER President

ADDRESS OF PERSON SIGNING JCR Pharmaceuticals Co., Ltd., 3-19 Kasuga-cho, Ashiya-shi, Hyogo 659-0021 Japan

SIGNATURE [Signature] DATE June 27, 2000

GREENBLUM & BERNSTEIN, P.L.C.  
PATENT AND TRADEMARK CAUSES  
1941 ROLAND CLARKE PLACE  
RESTON, VIRGINIA 20191

Applicant or Patentee: Susumu SEINO et al.

Serial or Patent No: \_\_\_\_\_ Attorney's Docket No.: \_\_\_\_\_

Filed or Issued: \_\_\_\_\_

For: Protein Rim2

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY  
STATUS (37 CFR 1.9 (f) and 1.27(b)) -- INDEPENDENT INVENTOR

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9 (c) for purposes of paying reduced fees under section 41 (a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled \_\_\_\_\_

Protein Rim2  
described in

☐ the specification filed herewith

☐ application serial no. \_\_\_\_\_, filed \_\_\_\_\_

☐ patent no. \_\_\_\_\_, issued \_\_\_\_\_

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9 (c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9 (d) or a nonprofit organization under 37 CFR 1.9 (e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

☐ no such person, concern, or organization

☒ persons, concerns or organizations listed below\*

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

FULL NAME JCR Pharmaceuticals Co., Ltd.

ADDRESS 3-19 Kasuga-cho, Ashiya-shi, Hyogo 659-0021 Japan

☐ INDIVIDUAL

☒ SMALL BUSINESS CONCERN

☐ NONPROFIT ORGANIZATION

FULL NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

☐ INDIVIDUAL

☐ SMALL BUSINESS CONCERN

☐ NONPROFIT ORGANIZATION

FULL NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

☐ INDIVIDUAL

☐ SMALL BUSINESS CONCERN

☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28 (b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Susumu SEINO  
NAME OF INVENTOR

Tadao SHIBASAKI  
NAME OF INVENTOR

Nobuaki OZAKI  
NAME OF INVENTOR

Susumu Seino  
Signature of Inventor

Tadao Shibasaki  
Signature of Inventor

Nobuaki Ozaki  
Signature of Inventor

June 29, 2000  
Date

June 29, 2000  
Date

June 28, 2000  
Date

# Declaration and Power of Attorney For Utility or Design Patent Application

## 特許出願宣言書

### Japanese Language Declaration

私は、下欄に氏名を記載した発明者として、以下のとおり  
宣言する：

私の住所、郵便の宛先および国籍は、下欄に氏名に続いて記載したとおり  
であり、

名称の発明に関し、請求の範囲に記載した特許を求める主題の本来の、  
最初にして唯一の発明者である(一人の氏名のみが下欄に記載されている  
場合)か、もしくは本来の、最初にして共同の発明者である(複数の氏名が  
下欄に記載されている場合)と信じ、

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated  
below next to my name.

I believe I am the original, first and sole inventor (if only one name is  
listed below) or an original, first and joint inventor (if plural names  
are listed below) of the subject matter which is claimed and for  
which a patent is sought on the invention entitled

Protein Rim2

その明細書を

(該当するほうに印を付す)

☐ ここに添付する。

☐ \_\_\_\_\_ 日に出願番号

第 \_\_\_\_\_ 号として提出し、

\_\_\_\_\_ 日に補正した。

(該当する場合)

私は、前記のとおり補正した請求の範囲を含む前記明細書の内容を検討  
し、理解したことを陳述する。

私は、連邦規則法典第37部第1章第56条に従い、本題の審査に所要の  
情報を開示すべき義務を有することを認める。

私は合衆国法典第35部第119条(a-d)項又は第365条(b)項に基づく、下  
記の外国特許出願又は発明者証出願、或いは第365条(a)項に基づく、少な  
くとも米国以外の1ヶ国を指名したPCT国際出願の外国優先権利益を主張  
し、更に優先権の主張に係わる基礎出願の出願日前の出願日を有する外国  
特許出願、又は発明者証出願或いはPCT国際出願を以下に明記する：

the specification of which

(check one)

☒ is attached hereto.

☐ was filed on \_\_\_\_\_ as

Application No. \_\_\_\_\_

and was amended on \_\_\_\_\_

(if applicable)

I hereby state that I have reviewed and understand the contents of  
the above identified specification, including the claims, as amended  
by any amendment referred to above.

I acknowledge the duty to disclose information which is material to  
the examination of this application in accordance with Title 37, Code  
of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States  
Code §119(a-d) or §365(b) of any foreign application(s) for patent  
or inventor's certificate, or §365(a) of any PCT international  
application which designated at least one country other than the  
United States of America, listed below and have also identified  
below, by checking the "No" box, any foreign application for patent  
or inventor's certificate, or of any PCT international application having  
a filing date before that of the application on which priority is claimed:

Prior foreign applications  
先の外国出願

288372 / 99

JAPAN

08 / 10 / 1999

(Number)  
(番号)

(Country)  
(国名)

(Day/Month/Year Filed)  
(出願の年月日)

(Number)  
(番号)

(Country)  
(国名)

(Day/Month/Year Filed)  
(出願の年月日)

Priority claimed  
優先権の主張

☒ Yes

あり

☐ Yes

あり

☐ No

なし

☐ No

なし

☐ その他の外国特許出願番号は別紙の追補優先権欄にて記載する。

☐ Additional foreign application numbers are listed on a  
supplemental priority sheet attached hereto.

# Japanese Language Utility or Design Patent Application Declaration

私は、合衆国法典第35部第119条(e)項に基づく、下記の合衆国仮特許出願の利益を主張する。

I hereby claim the benefit under Title 35, United States Code §119(e) of any United States provisional application(s) listed below.

(Number) (番号)	(Day/Month/Year Filed) 出願の年月日
(Number) (番号)	(Day/Month/Year Filed) 出願の年月日
(Number) (番号)	(Day/Month/Year Filed) 出願の年月日

☐ その他の合衆国仮特許出願番号は別紙の追補優先権欄にて記載する。

☐ Additional provisional application numbers are listed on a supplemental priority sheet attached hereto.

私は、合衆国法典第35部第120条に基づく下記の合衆国特許出願、又は第365条(c)項に基づく合衆国を指名したPCT国際出願の利益を主張し、本願の請求の範囲各項に記載の主題が合衆国法典第35部第112条第1項規定の態様で、先の合衆国特許出願又はPCT国際出願に開示されていない限度において、先の出願の出願日と本願の国内出願日又はPCT国際出願日の間に有効となった連邦規則法典第37部第1章第56条に記載の特許要件に所要の情報を開示すべき義務を有することを認める。

I hereby claim the benefit under Title 35, United States Code §120 of any United States application(s), or §365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of Title 35, United States Code §112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

(Application No.)  
(出願番号)

(Day/Month/Year Filed)  
(出願の年月日)

(現況)  
(特許済み、係属中 放棄済み)

(Status)  
(patented, pending, abandoned)

(Application No.)  
(出願番号)

(Day/Month/Year Filed)  
(出願の年月日)

(現況)  
(特許済み、係属中 放棄済み)

(Status)  
(patented, pending, abandoned)

☐ その他の合衆国又は国際特許出願番号は別紙の追補優先権欄にて記載する。

☐ Additional U.S. or international application numbers are listed on a supplemental priority sheet attached hereto.

私は、ここに自己の知識にもとずいて行った陳述がすべて真実であり、自己の有する情報および信ずるところに従って行った陳述が真実であると信じ、さらに故意に虚偽の陳述等を行った場合、合衆国法典第18部第1001条により、罰金もしくは禁錮に処せられるか、またはこれらの刑が併科され、またかかる故意による虚偽による陳述が本願ないし本願に対して付与される特許の有効性を損なうことがあることを認識して、以上の陳述を行ったことを宣言する。

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

私、下記署名者は、ここに記載の米国弁護士または代理人に本出願に関し特許商標庁にて取られるいかなる行為に関して、同米国弁護士又は代理人が、私に直接連絡なしに私の外国弁護士或るいは法人代表者からの指示を受け取り、それに従うようここに委任する。この指示を出す者が変更の場合には、ここに記載の米国弁護士又は代理人にその旨通知される。

The undersigned hereby authorizes the U.S. attorney or agent named herein to accept and follow instructions from either his foreign patent agent or corporate representative, if any, as to any action to be taken in the Patent and Trademark Office regarding this application without direct communication between the U.S. attorney or agent and the undersigned. In the event of a change in the persons from whom instructions may be taken, the U.S. attorney or agent named herein will be so notified by the undersigned.

# Japanese Language Utility or Design Patent Application Declaration

委任状： 私は、下記発明者として、下記に明記された顧客番号を伴う以下の弁護士又は、代理人をここに選任し、本順の手続きを遂行すること並びにこれに関する一切の行為を特許商標庁に対して行うことを委任する。そして全ての通信はこの顧客番号宛に発送される。

顧客番号 7055

現在選任された弁護士は下記の通りである。

Neil F. Greenblum  
Bruce H. Bernstein  
Roger P. Glass  
James L. Rowland  
Arnold Turk

POWER OF ATTORNEY: As a named inventor, I hereby appoint the attorney(s) and/or agent(s) associated with the Customer Number provided below to prosecute this application and transact all business in the Patent and Trademark Office connected therewith, and direct that all correspondence be addressed to that Customer Number:

**CUSTOMER NUMBER 7055**

The appointed attorneys presently include:

Reg. No. 28,394  
Reg. No. 29,027  
Reg. No. 30,841  
Reg. No. 32,674  
Reg. No. 33,094

Address: **GREENBLUM & BERNSTEIN, P.L.C.**

1941 ROLAND CLARKE PLACE  
RESTON, VA 20191

直接電話連絡先：(名称および電話番号)

Direct Telephone Calls to: (name and telephone number)

**GREENBLUM & BERNSTEIN, P.L.C.**

(703) 716-1191

唯一のまたは第一の発明者の氏名	Full name of sole or first inventor	Susumu SEINO	June 29, 2000
同発明者の署名	Inventor's signature	<i>Susumu Seino</i>	Date
住所	Residence	Japan	June 29, 2000
国籍	Citizenship	Japan	
郵便の宛先	Post Office Address	22-1-4 Aobanomorinomachi, 638-1 Chibateramachi, Chuo-ku, Chiba-shi, Chiba 260-0844 Japan	
第2の共同発明者の氏名 (該当する場合)	Full name of second joint inventor, if any	Tadao SHIBASAKI	
同第2共同発明者の署名	Second Inventor's signature	<i>Tadao Shibasaki</i>	Date
住所	Residence	Japan	June 29, 2000
国籍	Citizenship	Japan	
郵便の宛先	Post Office Address	Yamawa mansion 103, 991-128 Yahagi-cho, Chuo-ku, Chiba-shi, Chiba 260-0851 Japan	

(第6またはそれ以降の共同発明者に対しても同様な情報および署名を提供すること。)

(Supply similar information and signature for third and subsequent joint inventors.)

# Japanese Language Utility or Design Patent Application Declaration

第三の共同発明者の氏名	Full name of third inventor, if any <b>Nobuaki OZAKI</b>	
共同発明者の署名	日付	Third Inventor's signature <i>Nobuaki Ozaki</i> Date <i>June 28, 2000</i>
住所	Residence <b>Japan</b>	
国籍	Citizenship <b>Japan</b>	
郵便の宛先	Post Office Address <b>Excel-Tsurumai 65, 4-28-1 Yamawaki-cho,</b>	
	<b>Showa-ku, Nagoya-shi, Aichi 466-0063 Japan</b>	
第四の共同発明者の氏名	Full name of fourth inventor, if any	
共同発明者の署名	日付	Fourth Inventor's signature Date
住所	Residence	
国籍	Citizenship	
郵便の宛先	Post Office Address	
第五の共同発明者の氏名	Full name of fifth inventor, if any	
共同発明者の署名	日付	Fifth Inventor's signature Date
住所	Residence	
国籍	Citizenship	
郵便の宛先	Post Office Address	
第六の共同発明者の氏名	Full name of sixth inventor, if any	
共同発明者の署名	日付	Sixth Inventor's signature Date
住所	Residence	
国籍	Citizenship	
郵便の宛先	Post Office Address	

(それ以降の共同発明者にたいしても同様な情報  
および署名を提供すること。)

(Supply similar information and signature for subsequent joint  
inventors.)